PCT/AU00/00454

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ational Application No.

10/00957t5rney Docket No. DAVI147.001APC

U.S. Application No. Unknown

Date: November 9, 200

Page 1

#### TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) **CONCERNING A FILING UNDER 35 USC 371**

International Application No.:

PCT/AU00/00454

International Filing Date:

May 12, 2000

Priority Date Claimed:

May 12, 1999

Title of Invention:

A MESSAGE PROCESSING SYSTEM

Applicants for DO/EO/US:

Sydney Gordon Low and William Dennis Lang

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

- (X) This is a FIRST submission of items concerning a filing under 35 USC 371.
- (X) This express request to begin national examination procedures (35 USC 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 USC 371(b) and PCT Articles 22 and 39(1).
- (X) A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
- A copy of the International Application as filed (35 USC 371(c)(2)) (X)
  - a) is transmitted herewith (required only if not transmitted by the International Bureau).
  - b) (X) has been transmitted by the International Bureau.
  - (X) c) a copy of Form PCT/1B/308 is enclosed.
  - d) is not required, as the application was filed in the United States Receiving Office () (RO/US).
- (X) Amendments to the claims of the International Application under PCT Article 19 (35 USC 371(c)(3))
  - are transmitted herewith (required only if not transmitted by the International Bureau). e) 0
  - f) () have been transmitted by the International Bureau.
  - g) () have not been made; however, the time limit for making such amendments has NOT expired.
  - h) (X) have not been made and will not be made.
- A FIRST preliminary amendment (with abstract on a separate page). (X)
- (X) International Application as published (with International Search Report).
- (X) Two (2) sheets of drawings.
- (X) A return prepaid postcard.
- (X) The following fees are submitted:

International Application No. 10/009575 Attorney Docket No.

U.S. Application No. Unknown

PCT/AU00/00454

**DAVI147.001APC** 

Date: November 9, 2001

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				FEES
	BASIC FEE			\$890
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	18 - 20 =	0 ×	\$18	\$0
Independent Claims	4 - 3 =	1 ×	\$84	\$84
Multiple dependent claims(s) (if applicable) \$280		\$0		
31.	TOTAL OF AB	OVE CALCULATIO	NS \$974	744
Reduction by 1/2 for filing by small entity (if applicable). \$0				
717	TOTAL NATIO	NAL FEE		\$974
	TOTAL FEES I	ENCLOSED	****	\$974

- upon submission of the declaration.
- (X) A check in the amount of \$974 to cover the above fees is enclosed.
- (X) The Commissioner is hereby authorized to charge only those additional fees which may be required, now or in the future, to avoid abandonment of the application, or realit any overpayment to Deposit Account No. 11-1410.

SEND ALL CORRESPONDENCE TO:

John M. Carson Reg. No. 34,303 Customer No. 20,995

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DAVI147.001APC PATENT

#### IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant	:	Low, et al.	) Group Art Unit Unknown
Appl. No.	:	Unknown	)
Filed	:	Herewith	)
For	:	A MESSAGE PROCESSING SYSTEM	) ) )
Examiner	:	Unknown	)

#### PRELIMINARY AMENDMENT

Assistant Commissioner for Patents Washington, D.C. 20231

Dear Sir:

Prior to examination of the above-captioned application, please amend the application as follows:

#### **IN THE SPECIFICATION:**

Please amend the specification, published as WO 00/70479, as follows:

On page 1, line 2, please insert -- Field of the Invention --.

On page 1, line 5, please insert -- Background of the Invention --.

On page 1, line 24, please insert -- Summary of Certain Inventive Aspects --.

On page 2, line 14, please insert -- Brief Description of the Drawings --.

On page 2, line 21, please insert -- <u>Detailed Description of Certain Inventive</u> <u>Embodiments</u> --.

On page 6, line 1 please replace "CLAIMS" with -- WHAT IS CLAIMED IS --.

Please add a new abstract on a separate page attached hereto.

Appl. No. Filed

Unknown Herewith

## IN THE CLAIMS:

Please delete Claims 1-18 without prejudice.

Please add new Claims 19-36 as follows:

19. (New) A method of handling messages, comprising:

determining if a message is approved for a recipient of the message;

processing the message for subsequent viewing by the recipient if the message is approved; and

notifying the recipient and storing the message if the message is unapproved.

- 20. The method of Claim 19, further comprising allowing the recipient to view an unapproved message.
- 21. The method of Claim 20, further comprising notifying the recipient with a notification message having a link to network data representing a list of unapproved messages for the recipient.
- 22. The method of Claim 21, wherein the network data comprises markup language data accessible by a computer device of the recipient.
- 23. The method of Claim 19, further comprising allowing the recipient to set criteria to determine if the message is approved.
- 24. The method of Claim 23, wherein the criteria includes a sender of the message being on a stored approved list for the recipient.
- 25. The method of Claim 24, further comprising allowing the recipient to change the criteria.
- 26. The method of Claim 19, further comprising deleting an unapproved message a predetermined period of time after the notifying.

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27. The method of Claim 26, further comprising notifying a sender of the unapproved message of deletion of the unapproved message.

28. The method of Claim 23, wherein the messages and the criteria are stored on an electronic message server.

### 29. A message processing system, comprising:

means for determining if a message is approved for a recipient of the message;

means for processing the message for subsequent viewing by the recipient if the message is approved; and

means for notifying the recipient and storing the message if the message is unapproved.

#### 30. A message processing system, comprising:

an electronic message server for receiving and storing electronic messages for a recipient; and

an electronic message manager for processing electronic messages for a recipient to determine if the electronic messages are approved based on stored criteria, sending approved electronic messages for the recipient to a location for access by the recipient, and storing and sending a notification to the recipient of unapproved messages.

- 31. The message processing system of Claim 30, further comprising an access server for generating a display page with a list of unapproved messages, the notification comprising an electronic message with a link to the display page.
- 32. The message processing system of Claim 31, wherein the list of unapproved messages includes links to the unapproved messages respectively and which on selection causes transmission of an unapproved message to a recipient's computer device for viewing by the recipient.

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- 33. The message processing system of Claim 32, wherein the criteria includes the sender of a message being on an approved list for the recipient stored on the system.
- 34. The message processing system of Claim 33, wherein the display page includes a link to at least one display page for displaying and changing the criteria.
- 35. The message processing system of Claim 33, wherein the display page includes a link for changing the criteria.
- 36. A computer readable storage medium having code for executing a method of handling messages, the method comprising:

determining if a message is approved for a recipient of the message;

processing the message for subsequent viewing by the recipient if the message is approved; and

notifying the recipient and storing the message if the message is unapproved.

#### REMARKS

The foregoing amendments are to more closely conform the application to U.S. practice. No new matter is added. Entry of the amendment is respectfully requested.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 11/9/0(

By:

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: Unknown : Herewith

## **ABSTRACT**

## **A Message Processing System**

A method of handling messages determines if a message is approved for a recipient of the message. If the message is approved, the method processes the message for subsequent viewing by the recipient. If the message is unapproved, the method notifies the recipient and stores the message.

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#### A MESSAGE PROCESSING SYSTEM

The present invention relates to a message handling process and a message, processing system, which may be used to deal with unsolicited and unapproved electronic messages.

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Electronic messaging, particularly the use of e-mail over the Internet, has been enthusiastically adopted by large numbers of people, who have taken advantage of the inherent efficiencies and convenience of electronic messaging. One unfortunate consequence of Internet e-mail however has been the proliferation of unsolicited and unwanted e-mail messages, often referred to as "spam", which people receive. Various methods have been developed to restrict or prevent spam from reaching intended recipients. The methods have included both technical and legal measures which to date have met with mixed results. None have eliminated the problem of spam, nor prevented "spammers" from sending their messages and seeking to subvert the measures.

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One of the technical measures includes applying a spam filter which processes an incoming message to determine whether it should forwarded to the recipient or not. The disadvantage associated with such filters is that inevitably useful messages for the recipient are inadvertently filtered and never received.

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It is desired to provide a method and system which provides a useful alternative or which allows management of unsolicited messages without seeking to simply restrict or filter incoming messages.

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The present invention relates to a message handling process, including:

determining if a message is approved for the recipient of the message;

processing the message for subsequent viewing by the recipient if the message is approved; and

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notifying the recipient and storing the message if the message is unapproved.

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The present invention also provides a message processing system, including:
means for determining if a message is approved for the recipient of the message;
means for processing the message for subsequent viewing by the recipient if the
message is approved; and

means for notifying the recipient and storing the message if the message is unapproved.

The present invention also provides a message processing system, including:
an electronic message server for receiving and storing electronic messages for a
recipient; and

an electronic message manager for processing electronic messages for a recipient to determine if the electronic messages are approved based on stored criteria, sending approved electronic messages for the recipient to a location for access by the recipient, and storing and sending a notification to the recipient of unapproved messages.

A preferred embodiment of the present invention is hereinafter described, by way of example only, with reference to the accompanying drawings, wherein:

Figure 1 is a block diagram of a preferred embodiment of a message processing system connected to a communications network; and

Figure 2 is a flow diagram of the message handling process executed by the message 20 processing system.

A message processing system 2, as shown in Figure 1, is provided by a computer which may be a Unix server. The system 2 includes standard web server software 8 and e-mail server software 12 so that the system 2 can operate as a web server and can also operate as an e-mail server, i.e. a standard POP3/SMTP/IMAP e-mail server. The system 2 also includes e-mail manager software 10 stored on the server which includes program code and database code that establishes a database on the server 2. The code of the manager 10 causes the system to execute the message handling steps described below. Although shown on one machine, it will be understood by those skilled in the art that software components 8, 10 and 12 of the system 2 can be distributed amongst a number of machines in different locations, provided the

Substitute Sheet (Rule 26) RO/AU

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components 8, 10 and 12 can communicate with one another, as shown in Figure 1. Also it will be understood that the e-mail manager could be provided at least in part by application specific integrated circuits (ASICs) which execute the steps of the message handling process.

A user of the system 2 is able to access the system 2 via a communications network 4 using a standard computer 6 with a web browser. The communications network 4 may be, for example, the Internet or a LAN. For instance, the system 2 may be part of a corporate intranet, and act as a gateway for the intranet to the Internet. The system 2 may also be controlled by a service provider simply providing an e-mail service via the Internet. The service provider can then service any users which can connect via the Internet, including the users of corporate networks. Users, including companies, which use the system are registered and identified as being users by the e-mail manager 10. All e-mails for the users are then directed to the system 2.

The message handling method executed by the system 2, and in particular the manager 10, is shown in Figure 2. For incoming e-mails received by the system 2 for the users, at step 14, the manager 10 determines, at step 16, whether the e-mail message is approved. Approval of an e-mail message can be based on a number of criteria, with the simplest being whether the sender of the message is on a list of approved senders for the intended recipient that is stored on the database of the e-mail manager 10. If the message is approved at step 16, a forward procedure is executed and a determination is made at step 17 as to whether the recipient collects e-mail messages from the e-mail server 12 directly. If so, the message is stored on the server 12 at step 20 for retrieval from the e-mail server 12 in the normal manner. Otherwise the e-mail server 12 forwards the message to the recipient's e-mail server at step 22 via the communications network 4.

If it is determined at step 16 that the message is not approved, then the system 2 notifies the recipient, at step 18, that it has disallowed a received message for the recipient. The recipient can be notified by a number of communications methods, such as by e-mail or by a telephone call over the network 4. On receipt of the notification at step 18, the recipient

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can direct their web browser to the web server 8 and view a list of disallowed messages. From the list, the user can execute a number of actions, such as read the message, select a sender of a message to be added to the approved list stored by the manager 10 or simply delete messages.

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At step 18, the sender of an e-mail that has been disallowed by the system 2 is notified by e-mail that their message has been held in a pending mailbox because they were not on the recipient's list of authorised e-mail senders. The sender is also informed by e-mail that if they wish to ensure that the recipient reads the e-mail, the sender should use other means, such as telephone, to inform the recipient that they have been sent an e-mail and ask that the recipient add the sender's e-mail address to the recipient's list of authorised senders.

The manager 10 uses the e-mail server 12 to send the notifications at step 18 by e-mail, and the e-mail for the recipient includes a URL for the web server 8. A recipient can then respond to the notification by selecting the URL and pointing the browser to the web server 8. The manager 10 determines at step 24, after a predetermined period of time, whether or not the recipient has ignored the notification sent by e-mail. If the notification is ignored, the system 2 sends a return e-mail, at step 26, notifying the sender that the sent message has not been the read by the recipient. The message is then deleted at step 30.

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If the recipient responds to the e-mail notification so as to direct the recipient's browser to the system 2, the browser communicates with the web server 8 which sends a web page, designated by the URL. The web page displays a list of messages not approved by the manager 10 with the recently sent message being highlighted or selected. The e-mail manager 10 then enters a loop 50 which allows a number of functions to be executed. At step 28 the manager 10 determines whether the recipient has selected on the web page an option to add the sender of the highlighted message to the approved list maintained by the manager 10. If not, operation of the manager 10 proceeds to step 32, otherwise the manager 10 will update the recipient's approved list to add the sender, at step 34, and then proceed to step 32. At step 32, the e-mail manager 10 determines whether the recipient has chosen an option on the web page to read the

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highlighted message, and if not, operation proceeds to step 31. Otherwise, the message is displayed at step 36 for the recipient's browser, and operation proceeds to step 31. At step 31, the manager determines whether the recipient has selected an option on the web page to save the highlighted or read message, and if so, operation proceeds to step 33 to save the message. 5 At step 33, the forward procedure is called to execute step 17 for the message and proceed to either step 20 or 22 to save the message and then return to the loop 50. At step 35, the manager 10 determines whether the recipient has selected an option to delete the highlighted or read message. If so, the message is deleted at step 37, and operation returns to the loop 50. At step 39, a determination is made, based on activity of the recipient, as to whether the recipient has directed its browser away from or closed the web page, and if so, the loop 50 is exited and operation ends at step 40.

The manager 10 also executes scheduled tasks 42 to delete unapproved messages on which no action has been taken by recipients for a predetermined period of time, and notify senders as in step 26. Alternatively, the scheduled tasks may be set for a recipient so that unapproved messages on which no action has been taken for a predetermined period of time are stored or saved automatically by calling the forward procedure to execute step 17 and proceed to either step 20 or 22.

20 The above system 2 and management method are particularly advantageous as they provide users with the capability to manage unsolicited or unapproved e-mail messages without having the messages inadvertently removed by a message filter. The management facilities provided by the system 2 are web browser based, and provides significant additional management services to users of browser based e-mail services, such as those provided by 25 Hotmail and Yahoo.

Many modifications will be apparent to those skilled in the art without departing from the scope of the present invention as herein described with reference to the accompanying drawings.

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#### CLAIMS:

- A message handling process, including:
   determining if a message is approved for the recipient of the message;
   processing the message for subsequent viewing by the recipient if the message is
- 5 processing the message for subsequent viewing by the recipient if the message i approved; and

notifying the recipient and storing the message if the message is unapproved.

- 2. A method as claimed in claim 1, including, following the notifying step, allowing the recipient to view an unapproved message.
  - 3. A method as claimed in claim 2, including notifying the recipient with a notification message having a link to network data representing a list of unapproved messages for the recipient.

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- 4. A method as claimed in claim 3, wherein the network data comprises markup language data accessible by a computer device of the recipient.
- 5. A method as claimed in claim 1, including allowing the recipient to set criteria to determine if the message is approved.
  - 6. A method as claimed in claim 5, wherein the criteria includes a sender of the message being on a stored approved list for the recipient.
- 25 7. A method as claimed in claim 6, including allowing the recipient to change the criteria.
  - 8. A method as claimed in claim 1, including deleting an unapproved message a predetermined period of time after the notifying step.

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- 9. A method as claimed in claim 8, including notifying a sender of the unapproved message of deletion of the unapproved message.
- 10. A method as claimed in claim 5, wherein the messages and the criteria are stored onan electronic message server.
- 11. A message processing system, including: means for determining if a message is approved for the recipient of the message; means for processing the message for subsequent viewing by the recipient if the 10 message is approved; and
  - means for notifying the recipient and storing the message if the message is unapproved.
- 12. A message processing system, including:
   an electronic message server for receiving and storing electronic messages for a
   recipient; and

an electronic message manager for processing electronic messages for a recipient to determine if the electronic messages are approved based on stored criteria, sending approved electronic messages for the recipient to a location for access by the recipient, and storing and sending a notification to the recipient of unapproved messages.

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- 13. A message processing system as claimed in claim 12, further including an access server for generating a display page with a list of unapproved messages, the notification comprising an electronic message with a link to the display page.
- 25 14. A message processing system as claimed in claim 13, wherein the list of unapproved messages includes links to the unapproved messages respectively and which on selection causes transmission of an unapproved message to a recipient's computer device for viewing by the recipient.

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- 15. A message processing system as claimed in claim 14, wherein the criteria includes the sender of a message being on an approved list for the recipient stored on the system.
- 16. A message processing system as claimed in claim 15, wherein the display page includes a link to at least one display page for displaying and changing the criteria.
  - 17. A message processing system as claimed in claim 15, wherein the display page includes a link for changing the criteria.
- 10 18. A message manager stored on a computer readable storage medium having code for executing the steps of the method as claimed in any one of claims 1 to 10.





## **PCT**

## WORLD INTELLECTUAL PROPERTY ORGANIZATION International Bureau

#### INTERNATIONAL APPLICATION PUBLISHED UNDER THE PATENT COOPERATION TREATY (PCT)

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ΑŬ

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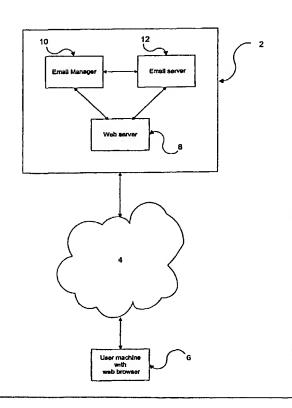
Published

With international search report.

#### (54) Title: A MESSAGE PROCESSING SYSTEM

#### (57) Abstract

A message processing system (2), including an e-mail server (12) for receiving and storing e-mails for a recipient, and an e-mail manager (10) for processing e-mails for a recipient to determine if the e-mails are approved based on stored criteria, sending approved e-mails for the recipient to a location for access by the recipient, and storing and sending a notification to the recipient of unapproved messages.



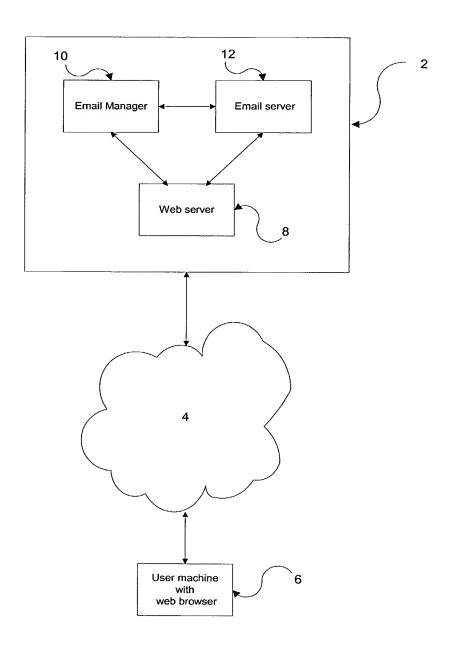
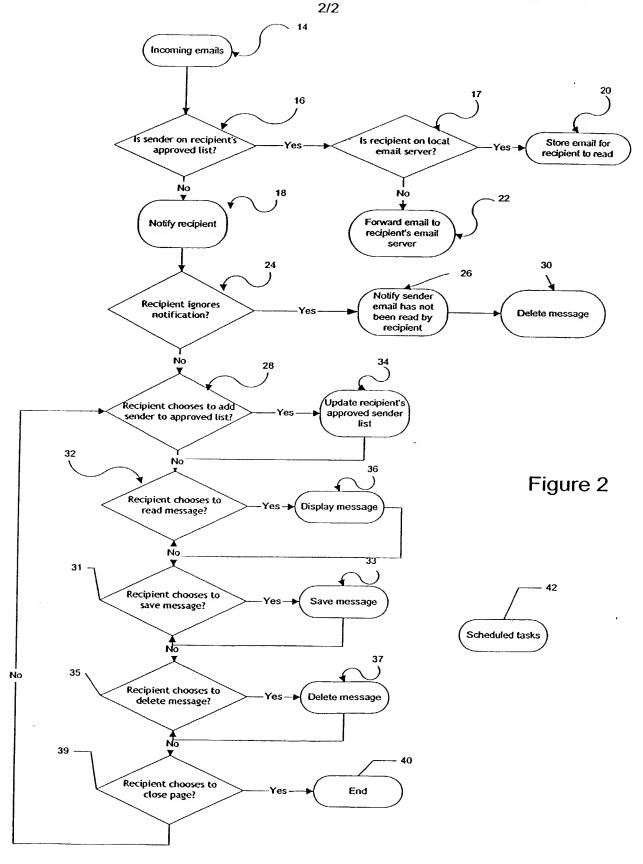


Figure 1

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Page 1

Attorney's Docket No
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#### DECLARATION AND POWER OF ATTORNEY - USA PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled A MESSAGE PROCESSING SYSTEM

he specification	of which:	
(a)		is attached hereto; or
(b)		was filed on as \[ \Begin{array}{cccccccccccccccccccccccccccccccccccc
(c)	×	was described and claimed in PCT International Application No. PCT/AU00/00454 on 12 May, 2000 and as amended under PCT Article 19 on (if any) and/or under PCT Article 34 on (if any).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above;

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56;

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent, design or inventor's certificate or any PCT international application(s) listed below and have also identified below any foreign application(s) for patent, design or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed for the same subject matter having a filing date before that of the application(s) of which priority is claimed:

#### PRIOR FOREIGN APPLICATION(S)

COUNTRY (OR INDICATE IF PCT)	APPLICATION NUMBER	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 37 U.S.C. § 119	
Australia	PQ0302/99	12 May, 1999	☑ YES	NO 🗆
PCT International	PCT/AU00/00454	12 May, 2000	⊠ YES	NO 🗆
			□ YES	NO □
			☐ YES	ио □
			□ YES	№ □

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below, and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose to the U.S. Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56, which became available between the filing date of the prior application and the national or PCT international filing date of this application:

	Page 2 Attorney's Docket No
	•
•	Prior U.S.A. Application(s)
÷	Application No.: Filing Date: Status:
	POWER OF ATTORNEY: I hereby appoint the registrants of Knobbe, Martens, Olson & Bear, LLP, 620 Newport Center Drive, Sixteenth Floor, Newport Beach, California 92660, Telephone (714) 760-0404, Customer No. 20,995, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith (if this application is assigned, I acknowledge that the appointed individuals do not represent me, and that instead they represent the assignee).
	I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful, false statements may jeopardize the validity of the application or any patent issued thereon.
I- ©0	Full name of sole or first inventor: Sydney Gordon LOW
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	Citizenship: Australian
	Post Office Address: 9 Evans Road, Kew, Victoria 3101, Australia
2-00	Full name of second inventor: William Dennis LANG
*	Inventor's signature May Day 18 Month 12 Year 2001
	Residence (city and country): <u>Kew</u> , <u>Victoria</u> , <u>Australia</u> ALIX
	Citizenship: Australian
	Post Office Address: 39 Normanby, Kew, Victoria 3101, Australia
	Full name of third inventor:
•	Inventor's signature Day Month Year
	Residence (city and country):
•	Citizenship:
	Post Office Address:
	Send Correspondence To. KNOBBE, MARTENS, OLSON & BEAR, LLP Customer No. 20,995